

SECTION VII

REPORTING SYSTEM

COMPLAINT REPORTING SYSTEM

A. INTRODUCTION

This section describes the quarterly reports that the CAC members and chairpersons are required to submit to the regional ombudsman.

These reports have been designed to comply with the requirements of the Administration on Aging and the North Carolina Division of Aging.

Receiving this information from the CAC at the local level on individual cases is essential for identifying patterns of complaints made on behalf of residents as well as general information on the ombudsman program and its complaint resolution function. More specifically, it will help the Division of Aging to:

- Identify gaps in the existing standards and regulations so that appropriate action can be taken to facilitate change;
- Identify and analyze nursing home issues to be used for the development of proposed legislation;
- Determine if the ombudsman program is being implemented as planned;
- Measure quality of care in particular facilities.

B. REQUIRED REPORTS

1. Confidential Case Record Report should be filled out by the CAC whenever a complaint is received. A “complaint” is defined as any issue/concern involving a resident in a nursing or adult care home which the CAC is asked to investigate and resolve. It is more than a friendly visit or an information and referral call.

The Confidential Case Record Report requires documentation of information that starts from the time the complaint is received and continues through to the follow-up after the case has been closed.

2. CAC Quarterly/Annual Visit Worksheet is to be filled out by one of the CAC members participating in the official quarterly visit to a home for the aged and for the official annual visit to family care homes and DDA homes. One form should be completed for each home visited.
3. Committee Members Activities Record. Each CAC member is encouraged to submit this information to the regional ombudsman at the end of each quarter. This running log of activities will provide the ombudsman with information he/she needs in order to fill out his/her quarterly report to the Division of

Aging as well as provide information regarding contributions by volunteers throughout the State.

4. Consent Forms. Permission shall be obtained to disclose the name(s) of any complainant and/or resident involved in a complaint prior to initiation of the complaint resolution process. The appropriate consent form(s), Resident Authorization Form (DHR-DOA-9113), Complaint Authorization Form (DHR-DOA-9114), Resident Oral Consent Form (DHR-DOA-9115), the Third Party Authorization Form (DHR-DOA-9116), Complaint Oral Consent Form (DHR-DOA-9117), and/or Consent to Review Medical/Social Records (DHR-DOA-9118) shall be completed and attached to the Case Record upon completion of the complaint resolution process. This information is forwarded to the regional ombudsman for review and is placed in the regional ombudsman's confidential files.